

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-491)

GAU 2152  
#6  
PATENT 04-2002  
37

In the Application of:

David James Stevenson et al.

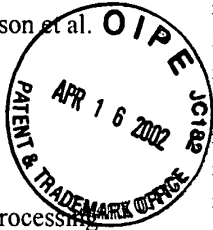
Before the Examiner: TBA

Serial No. 09/897,518

Filed: July 2, 2001

Group Art Unit: 2152

For: Apparatus and Method for Processing  
Data Relating to Events on a Network



TRANSMITTAL LETTER

Commissioner for Patents  
Washington, D.C. 20231

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Dear Sir:

In regard to the above identified application,

1. We are transmitting herewith the attached:
  - a) Second Supplemental Information Disclosure Statement Letter;
  - b) Second Supplemental Information Disclosure Statement Form PTO-1449;
  - c) 23 Cited References; and
  - d) Postcard.
2. With respect to fees:
  - a) No fee is required.
  - b) Please charge any underpayment or credit any overpayment our Deposit Account, No. 13-2490.
3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Asst. Commissioner for Patents, Washington, D.C. 20231 on April 16, 2002.

By: 

Timothy R. Baumann  
Reg. No. 40,502

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PATENT

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SECOND SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the references. This Statement is not a representation that the cited references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. sections 102 or 103, nor is this submission to be construed as a representation that a search has been made.

## **CITED REFERENCES**

### **U.S. Patent Documents**

| <b>Document Number</b> | <b>Date</b> | <b>Name</b>          |
|------------------------|-------------|----------------------|
| 5,471,399              | 11-28-95    | Tanaka et al.        |
| 5,615,323              | 03-25-97    | Engel et al.         |
| 5,751,964              | 05-12-98    | Ordanic et al.       |
| 5,819,028              | 10-06-98    | Manghirmalani et al. |
| 6,040,834              | 03-21-00    | Jain et al.          |
| 5,923,247              | 07-13-99    | Dowden et al.        |

### **Foreign Documents**

| <b>Document Number</b> | <b>Date</b> | <b>Country</b> |
|------------------------|-------------|----------------|
| GB 2271918A            | 04-27-94    | UK             |
| GB 2286317A            | 08-09-95    | UK             |
| GB 2362062A            | 11-07-01    | UK             |
| GB 2350035A            | 11-15-00    | UK             |
| EP 0515296A1           | 11-25-92    | EP             |
| EP 0849910A2           | 06-24-98    | EP             |
| WO 97/31451            | 08-28-97    | WIPO           |
| GB 2362061A            | 11-07-01    | UK             |
| WO 00/47003            | 08-10-00    | PCT            |
| WO 94/19888            | 09-01-94    | PCT            |
| WO 00/72514            | 11-30-00    | PCT            |
| WO 00/13373            | 03-09-00    | PCT            |
| WO 98/19470            | 05-07-98    | PCT            |
| GB 2333672A            | 07-28-99    | UK             |
| WO 96/04755            | 02-15-96    | PCT            |


**Other Documents**

1. S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 1271, November 1991, pp. 1-81.
2. S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 2021, January 1997, pp. 1-114.

Respectfully submitted,

McDonnell Boehnen Hulbert & Berghoff

Date: 4/16/02

By:   
Timothy R. Baumann  
Registration No. 40,502

|   |  |   |                                     |
|---|--|---|-------------------------------------|
| <b>FORM PTO-1449</b><br>(Rev. 2-32)   | U.S. Department of Commerce<br>Patent and Trademark Office | <b>Atty. Docket No.</b><br><br>01-491             | <b>Serial No.</b><br><br>09/897,518 |
| <b>SECOND SUPPLEMENTAL INFORMATION DISCLOSURE</b><br><b>STATEMENT BY APPLICANT</b><br>(Use several sheets if necessary) |  | <b>RECEIVED</b><br><br><b>APR 24 2002</b>         |                                     |
|   |  | <b>Applicant:</b><br>David James Stevenson et al. | Technology Center 2100              |
|   |  | <b>Filing Date:</b><br>July 2, 2001               | <b>Group:</b><br>2152               |

## U.S. PATENT DOCUMENTS

| Examiner Initial |    | Document Number | Date     | Name                 | Class | Subclass | Filing Date if Appropriate |
|------------------|----|-----------------|----------|----------------------|-------|----------|----------------------------|
|                  | 1. | 5,471,399       | 11-28-95 | Tanaka et al.        | 364   | 491      | 08-17-92                   |
|                  | 2. | 5,615,323       | 03-25-97 | Engel et al.         | 395   | 140      | 03-12-96                   |
|                  | 3. | 5,751,964       | 05-12-98 | Ordanic et al.       | 395   | 200.54   | 09-12-95                   |
|                  | 4. | 5,819,028       | 10-06-98 | Manghirmalani et al. | 395   | 185.1    | 04-16-97                   |
|                  | 5. | 6,040,834       | 03-21-00 | Jain et al.          | 345   | 356      | 12-31-96                   |
|                  | 6. | 5,923,247       | 07-13-99 | Dowden et al.        | 340   | 506      | 12-22-95                   |

## FOREIGN DOCUMENTS

| Examiner Initial |     | Document Number | Date     | Country | Class | Subclass | Translation |
|------------------|-----|-----------------|----------|---------|-------|----------|-------------|
|                  | 7.  | GB 2271918A     | 04-27-94 | UK      | H04L  | 12/26    |             |
|                  | 8.  | GB 2286317A     | 08-09-95 | UK      | H04L  | 01/24    |             |
|                  | 9.  | GB 2362062A     | 11-07-01 | UK      | H04Q  | 03/00    |             |
|                  | 10. | GB 2350035A     | 11-15-00 | UK      | H04L  | 12/26    |             |
|                  | 11. | EP 0515296A1    | 11-25-92 | EP      | H04L  | 12/26    |             |
|                  | 12. | EP 0849910A2    | 06-24-98 | EP      | H04L  | 12/26    |             |
|                  | 13. | WO 97/31451     | 08-28-97 | WIPO    | H04L  | 12/24    |             |
|                  | 14. | GB 2362061A     | 11-07-01 | UK      | H04Q  | 3/00     |             |
|                  | 15. | WO 00/47003     | 08-10-00 | PCT     | H04Q  | 3/00     |             |

|  |  |  |                              |
|--|--|--|------------------------------|
| <b>FORM PTO-1449</b><br>(Rev. 2-32)<br><br><b>SECOND SUPPLEMENTAL INFORMATION DISCLOSURE</b><br><b>STATEMENT BY APPLICANT</b><br>(Use several sheets if necessary) | U.S. Department of Commerce<br>Patent and Trademark Office | Atty. Docket No.<br><br>01-491             | Serial No.<br><br>09/897,518 |
|  |  | Applicant:<br>David James Stevenson et al. |                              |
|  |  | Filing Date:<br>July 2, 2001               | Group:<br>2152               |



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### FOREIGN DOCUMENTS

**Technology Center 2100**

| Examiner Initial |     | Document Number | Date     | Country | Class | Subclass | Translation |
|------------------|-----|-----------------|----------|---------|-------|----------|-------------|
|                  | 16. | WO 94/19888     | 09-01-94 | PCT     | H04L  | 12/24    |             |
|                  | 17. | WO 00/72514     | 11-30-00 | PCT     | H04L  | 12/24    |             |
|                  | 18. | WO 00/13373     | 03-09-00 | PCT     | H04L  | 12/26    |             |
|                  | 19. | WO 98/19470     | 05-07-98 | PCT     | H04Q  | 3/00     |             |
|                  | 20. | GB 2333672A     | 07-28-99 | UK      | H04L  | 12/26    |             |
|                  | 21. | WO 96/04755     | 02-15-96 | PCT     | H04Q  | 03/00    |             |

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

|          |     |  |
|----------|-----|--|
|          | 22. | S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 1271, November 1991, pp. 1-81. |
|          | 23. | S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 2021, January 1997, pp. 1-114. |
| EXAMINER |     | DATE CONSIDERED  |

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.